



Practitioner's Docket No. P04514US0

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **THOMANN, KAREN S., et al.**

Serial No: **10/086,336**

Filed: **March 1, 2002**

Confirmation: **4139**

For: **AUTOMATED WORKFLOW MEANS AND METHOD FOR
PENSION PRODUCTS**

**Assistant Commissioner for Patents
Washington, D.C. 20231**

**AMENDMENT, PETITION AND FEE TO CORRECT AND/OR ADD TO
ORIGINALLY NAMED INVENTOR(S) (37 C.F.R. 1.48(a) AND/OR (c))**

NOTE: 37 C.F.R. § 1.48(f)(1) states: "If the correct inventor or inventors are not named on filing a nonprovisional application under § 1.53(b) without an executed oath or declaration under § 1.63, the later submission of an executed oath or declaration under § 1.63 during the pendency of the application will act to correct the earlier identification of inventorship.

(2) if the correct inventor or inventors are not named on filing a provisional application without a cover sheet under § 1.51(c)(1), the later submission of a cover sheet under § 4.51(c)(1) during the pendency of the application will act to correct the earlier identification of inventorship."

1. This amendment and petition is to:

☒ correct the incorrect original naming of inventor(s) in the declaration under 37 C.F.R. § 1.48(a)

and/or

☐ add inventor(s) for subject matter disclosed in the application but previously unclaimed under 37 C.F.R. § 1.48(c).

CERTIFICATE OF MAILING/TRANSMISSION (37 CFR § 1.8(a))

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: 9/3/02

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office.

Signature [Handwritten Signature]

JEFFREY D. HARTY

(type or print name of person certifying)

2. Addition and/or deletion of inventor(s)

☐ Add the following previously unnamed person(s) as inventor(s) of this application:

☒ Delete the following previously incorrectly named inventor(s)

JOSEPH MCCARTY
SHERYL D. BENEDICT

3. Attachments

Attached is

(a) A statement from:

☐ each person being added as an inventor that the error in inventorship occurred without deceptive intention on his or her part. 37 C.F.R. § 1.48(a)(1).

☒ each person being deleted as an inventor that the error in inventorship occurred without deceptive intention on his or her part. 37 C.F.R. § 1.48(a)(1).

☐ each person being added as an inventor that the amendment is necessitated by amendment of the claims and that the inventorship error occurred without deceptive intention on his or her part. 37 C.F.R. § 1.48(c)(1).

(b) a declaration by each of the actual inventor(s) as required by 37 C.F.R. § 1.63.

(c) written assent of the assignee (if applicable)

4. Fee payment (37 C.F.R. § 1.17(I))

The fee required is paid as follows:

☒ Enclosed is a check in the amount of \$130.00

☒ Charge Account No. 26-0084 in the amount of for any fee deficiency.

(A duplicate of this request is attached.)

☐ Charge account _____ the sum of \$ _____.


SIGNATURE OF PRACTITIONER

JEFFREY D. HARTY, Reg. No. 40,639
(type or print name of attorney)

MCKEE, VOORHEES & SEASE, PLC
Tel. No.: (515) 288-3667
801 Grand Avenue, Suite 3200
P.O. Address
Des Moines, Iowa 50309



#6

ATTORNEY'S DOCKET NO. P04514US0

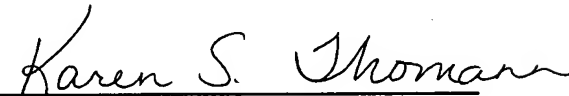
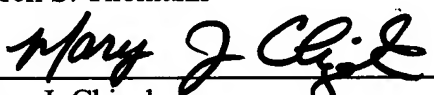
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **THOMANN, KAREN S., et al.**
Serial No: **10/086,336**
Filed: **March 1, 2002**
Confirmation: **4139**
For: **AUTOMATED WORKFLOW MEANS AND METHOD FOR PENSION PRODUCTS**

STATEMENT AGREEING TO CHANGE OF INVENTORSHIP IN PATENT APPLICATION BY CORRECTLY NAMED INVENTORS

We, **Karen S. Thomann, Mary J. Chizek, Richard C. Johnson, Carla K. Seiler, Paul N. Douglas, and Thomas R. Houghton** inventors who are correctly named in the above-identified patent application, and in support of the petition to correct the inventorship of this patent application hereby agree to the change of inventorship of this patent application.


Karen S. Thomann

Mary J. Chizek

CERTIFICATION UNDER 37 CFR 1.8(a) and 1.10

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 with sufficient postage:

37 CFR 1.8(a)

37 CFR 1.10

☒ as first class mail

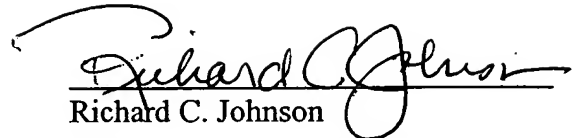
☐ as "Express Mail Post Office to Addressee" Mailing Label No. _____

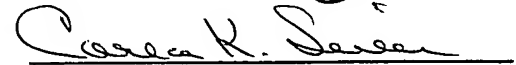
TRANSMISSION

transmitted by facsimile to the Patent and Trademark Office

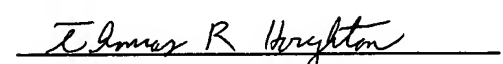
Date: 9/3/02


Jeffrey D. Harty

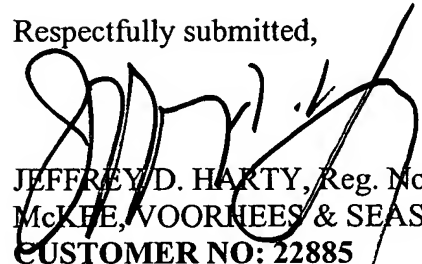

Richard C. Johnson


Carla K. Seiler

Paul N. Douglas


Thomas R. Houghton

Respectfully submitted,


JEFFREY D. HARTY, Reg. No. 40,639
McKEE, VOORHEES & SEASE, PLC
CUSTOMER NO: 22885
Attorneys of Record

801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721
515-288-3667 (phone)
515-288-1338 (fax) -JDG/bja-

Richard C. Johnson

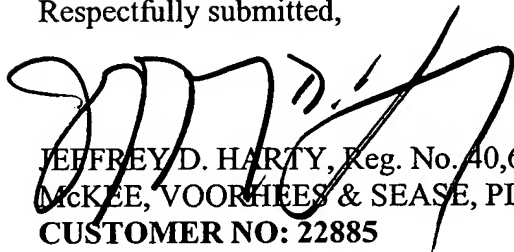
Carla K. Seiler



Paul N. Douglas

Thomas R. Houghton

Respectfully submitted,



JEFFREY D. HARTY, Reg. No. 40,639
MCKEE, VOORHEES & SEASE, PLC
CUSTOMER NO: 22885
Attorneys of Record

801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721
515-288-3667 (phone)
515-288-1338 (fax) -JDG/bja-



#6

ATTORNEY'S DOCKET NO. P04514US0

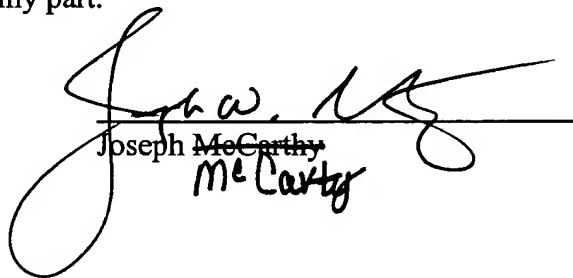
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **THOMANN, KAREN S., et al.**
Serial No: **10/086,336**
Filed: **March 1, 2002**
Confirmation: **4139**
For: **AUTOMATED WORKFLOW MEANS AND METHOD FOR PENSION PRODUCTS**

**STATEMENT OF NON-DECEPTIVE INTENT BY PERSON BEING DELETED
BY PETITION TO CHANGE INVENTORSHIP IN PATENT APPLICATION**

I, **Joseph McCarthy**, who is being deleted as an inventor by the petition being submitted to correct the inventorship of this patent application does hereby declare that the inventorship error in including my name as an inventor on this patent application occurred without any deceptive intention on my part.


Joseph McCarthy
McCarthy

CERTIFICATION UNDER 37 CFR 1.8(a) and 1.10

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 with sufficient postage:

37 CFR 1.8(a)

37 CFR 1.10

☒ as first class mail

☐ as "Express Mail Post Office to Addressee" Mailing Label No. _____

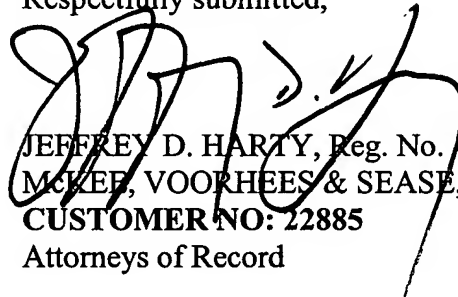
TRANSMISSION

transmitted by facsimile to the Patent and Trademark Office

Date: 9/3/02

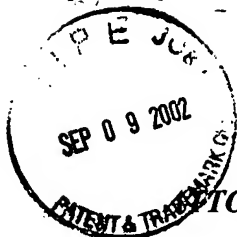

Jeffrey D. Harty

Respectfully submitted,

A large, stylized handwritten signature in black ink, appearing to read 'JDH', is written over the typed name and firm name.

JEFFREY D. HARTY, Reg. No. 40,639
MCKEE, VOORHEES & SEASE, PLC
CUSTOMER NO: 22885
Attorneys of Record

801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721
515-288-3667 (phone)
515-288-1338 (fax) - JDG/bja -



ATTORNEY'S DOCKET NO. P04514US0

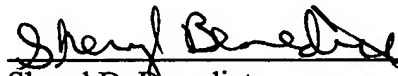
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **THOMANN, KAREN S., et al.**
Serial No: **10/086,336**
Filed: **March 1, 2002**
Confirmation: **4139**
For: **AUTOMATED WORKFLOW MEANS AND METHOD FOR PENSION PRODUCTS**

**STATEMENT OF NON-DECEPTIVE INTENT BY PERSON BEING DELETED
BY PETITION TO CHANGE INVENTORSHIP IN PATENT APPLICATION**

I, **Sheryl D. Benedict**, who is being deleted as an inventor by the petition being submitted to correct the inventorship of this patent application does hereby declare that the inventorship error in including my name as an inventor on this patent application occurred without any deceptive intention on my part.


Sheryl D. Benedict

CERTIFICATION UNDER 37 CFR 1.8(a) and 1.10

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☒ deposited with the United States Postal Service in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 with sufficient postage:

37 CFR 1.8(a)

37 CFR 1.10

☒ as first class mail

☐ as "Express Mail Post Office to Addressee" Mailing Label No. _____

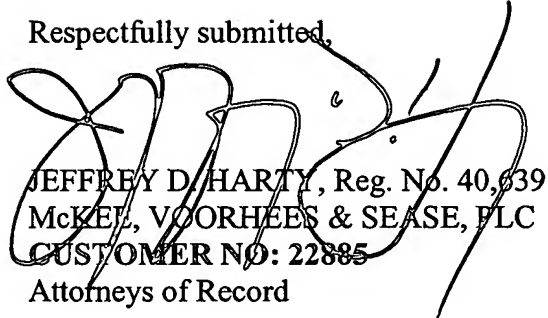
TRANSMISSION

transmitted by facsimile to the Patent and Trademark Office

Date: 9/3/02


Jeffrey D. Harty

Respectfully submitted,



JEFFREY D. HARTY, Reg. No. 40,639
McKEE, VOORHEES & SEASE, PLC
CUSTOMER NO: 22885
Attorneys of Record

801 Grand Avenue, Suite 3200
Des Moines, Iowa 50309-2721
515-288-3667 (phone)
515-288-1338 (fax) - JDG/bja-